



TELEPHONIC SELLER REGISTRATION FORM

Important Note: Issuance of this Telephonic Seller Registration does not indicate approval of the solicitations being used nor approval of any aspect of the Telephonic Seller's business

For Official Use Only

Registration Number _____

Registration Date _____

Name of Business _____

Address _____

MAIL COMPLETED FORM TO: California Attorney General's Office
Attn: Consumer Law Section, Telemarketing Unit
300 Spring St., Suite 1702
Los Angeles, CA 90013

1. This filing is made on behalf of: _____
(business name used when contacting the public)

2. Other names used when doing business:

3. Legal Name: _____

4. Brief description of product(s) sold: _____

5. (a) ☐ We have never registered before as a Telephonic Seller.

(b) ☐ We have registered before as a Telephonic Seller. Give registration number and date of registration below:

Registration No.

Date of Registration

____/____/____

____/____/____

____/____/____

(c) ☐ Attached is check number _____ for \$50.00 made payable to "The California Attorney General's Office."

6. Our business is a:

(a) ☐ Corporation incorporated in _____
(State of Incorporation)

☐ Attached and marked Exhibit 1 is a copy of our Articles of Incorporation, our By-laws and amendments thereto.

(b) ☐ Partnership under the laws of _____
(State Where Partnership Founded)

☐ Attached and marked Exhibit 1 is a copy of our Partnership Agreement.

(c) ☐ Fictitious business name registered by _____
(Name of Individual Registering Fictitious Name)

on ____/____/____ at _____
(Date Registered) (Where Fictitious Name Was Registered)

7. (a) ☐ As defined in General Instructions, number B1, the following company is our parent:

(b) ☐ As defined in General Instructions, number B2, we are affiliated with the following companies:

(c) ☐ As defined in General Instructions, number B1, no other company is our parent, nor are we affiliated with any other company.

8. Answer only if you checked 7(a).

Our parent company is a:

(a) ☐ Corporation; it is incorporated in _____
(State of Incorporation)

☐ Attached and marked Exhibit 1A is a copy of its Articles of Incorporation, By-laws and amendments thereto.

(b) ☐ Partnership under the laws of _____
(State Where Partnership Founded)

☐ Attached and marked Exhibit 1A is a copy of its Partnership Agreement.

(c) ☐ Fictitious business name registered by _____
(Name Individual Registering Fictitious Name)

on ____/____/____ at _____

(date registered)

(Where Fictitious Name Was Registered)

9. Answer only if you checked 7(b).

Supply the following requested information for the company with which you are affiliated:

(a) ☐ Corporation; it is incorporated in _____
(State of Incorporation)

☐ Attached and marked Exhibit 1B is a copy of its Articles of Incorporation, By-laws and amendments thereto.

(b) ☐ Partnership under the laws of _____
(State Where Partnership Founded)

☐ Attached and marked Exhibit 1B is a copy of its Partnership Agreement.

(c) ☐ Fictitious business name registered by _____
(Name Individual Registering Fictitious Name)

on ____/____/____ at _____
(date registered) (Where Fictitious Name Was Registered)

10. (a) Complete street address of the principal location from which sales will be solicited telephonically or by any other means. A Receipt of Filing must be posted at this location in a conspicuous place for inspection by any governmental agency, thus a street location may not be a post office box or post office suite address.

(b) All other street addresses from which sales will be solicited telephonically or by any other means. A Receipt of Filing must be posted at each of these locations in a conspicuous place for inspection by any governmental agency, thus a street location may not be a post office box or post office suite address

(c) Address of the main location in California from which sales will solicit business is: A Receipt of Filing must be posted at each of these locations in a conspicuous place for inspection by any governmental agency, thus a street location may not be a post office box or post office suite address.

(d) Mailing address (if different from 10(a)):

11. (a) List the telephone number(s) to be used to solicit business from the location set forth in 10(a):

<hr/>	<hr/>
<hr/>	<hr/>
<hr/>	<hr/>
<hr/>	<hr/>
<hr/>	<hr/>
<hr/>	<hr/>
<hr/>	<hr/>

(b) List and designate the location of each telephone number(s) to be used to solicit from each of the locations set forth in 10(b):

<u>Location</u>	<u>Phone Number(s)</u>
<hr/>	<hr/>
<hr/>	<hr/>
<hr/>	<hr/>
<hr/>	<hr/>
<hr/>	<hr/>
<hr/>	<hr/>

(c) If 10(c) is applicable, list the telephone number(s) to be used to solicit business from the location set forth in 10(c):

<hr/>	<hr/>
<hr/>	<hr/>

(d) List the E-mail address and/or web site to be used by the company:

E-Mail Address: _____

Web site: _____

(e) List the name and phone number of a person to contact regarding this registration:

12. List each officer, director, trustee, general partner, limited partner, sole proprietor and owner, as applicable to the business. (Attach additional pages as needed but use same format.)

1) Name: _____ Date of Birth: ____/____/____

Title: _____ Ownership interest: [] Yes [] No

Driver's license # and State of issuance: _____

Complete street address of principal residence:

2) Name: _____ Date of Birth: ____/____/____

Title: _____ Ownership interest: [] Yes [] No

Driver's license # and State of issuance: _____

Complete street address of principal residence:

3) Name: _____ Date of Birth: ____/____/____

Title: _____ Ownership interest: [] Yes [] No

Driver's license # and State of issuance: _____

Complete street address of principal residence:

13. List each individual not listed in answer to question (12) who has management responsibilities in connection with the business. (Attach additional pages as needed but use same format.)

1) Name: _____ Date of Birth: ____/____/____

Driver's license # and State of issuance: _____

Complete street address of principal residence:

Management Duties: _____

2) Name: _____ Date of Birth: ____/____/____

Driver's license # and State of issuance: _____

Complete street address of principal residence:

Management Duties: _____

3) Name: _____ Date of Birth: ____/____/____

Driver's license # and State of issuance: _____

Complete street address of principal residence:

Management Duties: _____

14. List each person who is in charge of each location specified in answer to question 10. List each person in charge even if that name appears in answer to another question. (Attach additional pages as needed but use same format.)

1) Name: _____

Residence Address:

In Charge of Location at:

2) Name: _____

Residence Address:

In Charge of Location at:

3) Name: _____

Residence Address:

In Charge of Location at:

15. List the following information for any person listed in the answers to questions 12, 13 or 14 who:

- 1) has been convicted of a felony or misdemeanor, or pled nolo contendere, to a charge alleging violation of this telephonic seller law, or fraud, theft, embezzlement, fraudulent conversion, or misappropriation of property; or
- 2) has had entered against him or her a final judgment or order in a civil or administrative action, including a stipulated judgment or order, if the complaint or petition in the civil or administrative action alleged acts constituting a violation of this telephonic seller law, fraud, theft, embezzlement, fraudulent conversion, or misappropriation of property, the use of untrue or misleading representations in an attempt to sell or dispose of real or personal property, or the use of unfair, unlawful, or deceptive business practices; or
- 3) is subject to any currently effective injunction or restrictive court order relating to business activity as the result of an action brought by a federal, state, or local public agency or unit thereof, including, but not limited to, an action affecting any vocational license.

Provide all requested information for each person. (Attach additional pages as needed.)

If no individual listed in answers to questions 12, 13 or 14 need to be listed because none of them have been convicted or pled nolo contendere to any charge set forth in question 15 or is not subject to any current injunctive or restrictive order, then mark an "X" here [].

* Name of Individual: _____

Court or Administrative Agency Rendering Decision, Judgment or Order:

Date of Conviction, Judgment or Order: ____/____/____ Docket #: _____

Name of Governmental Agency Which Brought the Action:

* Name of Individual: _____

Court or Administrative Agency Rendering Decision, Judgment or Order:

Date of Conviction, Judgment or Order: ____/____/____ Docket #: _____

Name of Governmental Agency Which Brought the Action:

16. List the information required by question 15 except applied to the telephonic seller. The telephonic seller is the corporation, partnership, firm, association, joint venture or any other type of business entity which is submitting this application for registration.

If the telephonic seller does not to be listed because the seller has not been convicted or pled nolo contendere to any charge set forth in question 15 or is not subject to any current or restrictive order, then mark an "X" here [].

* Name of Business: _____

Court or Administrative Agency Rendering Decision, Judgment or Order:

Date of Conviction, Judgment or Order: ____/____/____ Docket #: _____

Name of Governmental Agency Which Brought the Action:

* Name of Business: _____

Court or Administrative Agency Rendering Decision, Judgment or Order:

Date of Conviction, Judgment or Order: ____/____/____ Docket #: _____

Name of Governmental Agency Which Brought the Action:

17. List the following information for any person listed in the answers to questions 12, 13 or 14 who has:

a) at any time during the previous seven tax years:

- filed in bankruptcy,
- been adjudged a bankrupt,
- been reorganized due to insolvency, or

b) who has been a principal, director, officer, trustee, general or limited partner, or had management responsibilities for any other corporation, partnership, joint venture, or business entity that has:

- filed in bankruptcy,
- been adjudged a bankrupt,
- been reorganized due to insolvency during or within one year after the period that the person held that position. (Attach additional pages as needed.)

If no individual listed in answers to questions 12, 13 or 14 need to be listed because none of them falls within the situation described in question 17, then mark an "X" here [].

* Name of Individual: _____

Address: _____

Court: _____

Date of Event: ____/____/____ Docket # _____

* Name of Individual: _____

Address: _____

Court: _____

Date of Event: ____/____/____ Docket # _____

* Name of Individual: _____

Address: _____

Court: _____

Date of Event: ____/____/____ Docket #: _____

18. List the same information required by question 17 except applied to the telephonic seller. The telephonic seller is the corporation, partnership, firm, association, joint venture or any other type of business entity which is submitting this application for registration.

If the telephonic seller does not need to be listed because the seller does not falls within the situation

described in question 17, then mark an "X" here [].

* Name of Business: _____

Address: _____

Court: _____

Date of Event: ____/____/____ Docket # _____

* Name of Business: _____

Address: _____

Court: _____

Date of Event: ____/____/____ Docket # _____

19. List the following for each individual who will solicit on behalf of the telephonic seller, and the name(s) they will use when soliciting. (Attach additional pages as needed but use the same format.) *NOTE: A social security number may be substituted if a solicitor does not have a driver's license.

1) Actual Name: _____ Date of Birth: ____/____/____

Driver's license # and State of issuance: _____

Principal Residence Address:

Name(s) to be used when soliciting:

2) Actual Name: _____ Date of Birth: ____/____/____

Driver's license # and State of issuance: _____

Principal Residence Address:

Name(s) to be used when soliciting:

3) Actual Name:_____ Date of Birth:____/____/____

Driver's license # and State of issuance: _____

Principal Residence Address:

Name(s) to be used when soliciting:

4) Actual Name:_____ Date of Birth:____/____/____

Driver's license # and State of issuance: _____

Principal Residence Address:

Name(s) to be used when soliciting:

5) Actual Name:_____ Date of Birth:____/____/____

Driver's license # and State of issuance: _____

Principal Residence Address:

Name(s) to be used when soliciting:

6) Actual Name:_____ Date of Birth:____/____/____

Driver's license # and State of issuance: _____

Principal Residence Address:

Name(s) to be used when soliciting:

7) Actual Name:_____ Date of Birth:____/____/____

Driver's license # and State of issuance: _____

Principal Residence Address:

Name(s) to be used when soliciting:

8) Actual Name: _____ Date of Birth: ____/____/____

Driver's license # and State of issuance: _____

Principal Residence Address:

Name(s) to be used when soliciting:

CHECK ONE BOX FOR EACH OF THE FOLLOWING QUESTIONS:

20. (a) ☐ Attached and marked Exhibit 2 is a copy of all sales scripts we give to those soliciting for us.
- (b) ☐ We do not give those soliciting for us a sales script.
21. (a) ☐ Attached and marked Exhibit 3 is a copy of all sales information or literature we provide to our sales people or of which we inform our salespeople (including, but not limited to, scripts, outlines, instructions and information regarding how to conduct telephonic sales, sample introductions, sample closings, product information and contest or premium award information.)
- (b) ☐ We do not provide to or inform our salespeople of any sales information or literature as described in 22(a).
22. (a) ☐ Attached and marked Exhibit 4 is a copy of all written material we send any prospective or actual purchaser.
- (b) ☐ We do not send any written material to any prospective or actual purchaser.
23. (a) ☐ If you or your salespeople represent or imply to prospective or actual purchasers that the purchaser will receive certain specific items or one or more items from among

designated items, or a certificate of any type which the purchaser must redeem to obtain the item described in the certificate, whether the items are referred to as gifts, premiums, bonuses, prizes or otherwise, list the following (see General Instructions, no. B3):

* Item offered: _____

Price or value of worth: \$ _____

Basis for valuation: _____

Price we paid: \$ _____

Supplier's Name: _____

Address: _____

Telephone: _____

* Item offered: _____

Price or value of worth: \$ _____

Basis for valuation: _____

Price we paid: \$ _____

Supplier's Name: _____

Address: _____

Telephone: _____

* Item offered: _____

Price or value of worth: \$ _____

Basis for valuation: _____

Price we paid: \$ _____

Supplier's Name: _____

Address: _____

Telephone: _____

* Item offered: _____

Price or value of worth: \$ _____

Basis for valuation: _____

Price we paid: \$ _____

Supplier's Name: _____

Address: _____

Telephone: _____

(b) ☐ We do not represent or imply to prospective or actual purchasers that the purchaser will receive certain specific items, one or more items from among designated items or a certificate of any type which the purchaser must redeem to obtain the item described in the certificate.

24. (a) ☐ We checked 23(a) and a purchaser does not actually receive all of the items described by us or our salespeople:

1) We decide which item or items a particular prospective purchaser is to receive in the following manner:

2) The odds a single prospective purchaser has of receiving each described item are (see General Instructions, no. B4):

3) The name and address of each recipient who has during the preceding 12 months (or if you have not been in business that long, during the period you have been in business) received the item having the greatest value and the item with the smallest odds of being received is (see General Instructions, no. B5):

(b) ☐ We checked 23(a) and a purchaser receives all of the items described by our salespeople.

(c) ☐ We checked 23(b).

25. ☐ Attached and marked Exhibit 5 is a copy of all rules, regulations, terms and conditions a prospective purchaser must meet in order to receive the item(s) described in answer to question 23.

26. (a) ☐ We do not sell or offer to sell coins or bullion.

- (b) ☐ We sell or offer to sell coins or bullion, but fall within the exemption set forth in Business and Professions Code section 17511.1(d)(19) and are separately filing the information required by Business and Professions Code sections 17511.3, as applicable, and 17511.4(p) because we qualify for an exemption.
- (c) ☐ We sell or offer to sell coins or bullion, but do not fall within the exemption set forth in Business and Professions Code section 17511.1(d)(19) and are answering questions 27-31.
27. (a) ☐ We do not sell or offer to sell any metal, coins, stone or mineral.
- (b) ☐ We sell or offer to sell metal, coins, stone or mineral and the name, address and telephone number of each of our suppliers, and the metal, coin, stone or mineral we get from each supplier is as follows (see General Instructions, no. B6):
28. (a) ☐ We do not sell or offer to sell metal, coins, stone or mineral.
- (b) ☐ We sell or offer to sell metal, coins, stone or mineral from our own inventory which is kept at the following location (see General Instructions, no. B7):
- (c) ☐ We sell or offer to sell metal, coins, stone or mineral but we arrange the transfer of the metal, coins, stone or mineral directly from our sources to the purchaser or his/her bank without taking possession of it ourselves.
- (d) ☐ We sell or offer to sell metal, coins, stone or mineral and we will either retain physical possession of the metal, coins, stone or mineral purchased or will not transfer physical possession of the metal, coins, stone or mineral purchased until the purchaser has paid in full for the purchase and the address of each location where the metal, coins, stone or mineral will be kept is:
- (e) ☐ If we do not own the premises at which the metal, coins, stone or mineral will be kept, the name of the owner(s) of the business(es) at which the metal, coins, stone or mineral will be kept is (see General Instructions, no. B8):
- ☐ Attached and marked Exhibit 6 is a copy of the contract(s) or other document(s) which evidences our right to store the metal, coins, stone or mineral at the address(es) designated in 28(e).
- (f) ☐ We sell or offer to sell metal, coins, stone or mineral, but we purchase the metal, stone or mineral to fill orders we have taken from purchasers, and attached and marked Exhibit 7

is a copy of all contracts or other documents evidencing our ability to call upon suppliers to fill our orders.

29. (a) ☐ We do not sell or offer to sell any metal, coins, stone or mineral.
- (b) ☐ We sell or offer to sell metal, coins, stone or mineral but do not represent to purchasers that we have insurance or a surety bond of any type relating to a purchaser's purchase of metal, coins, stone or mineral.
- (c) ☐ We sell or offer to sell metal, coins, stone or mineral and we represent to purchasers that we have insurance or a surety bond of some type relating to a purchaser's purchase of metal, coins, stone or mineral and a copy of all such insurance policies and bonds is attached and marked Exhibit 8.
30. (a) ☐ We do not sell or offer to sell any metal, coins, stone or mineral.
- (b) ☐ We sell or offer to sell metal, coins, stone or mineral but do not make any representation as to the earning or profit potential of purchases of any metal, coins, stone or mineral.
- (c) ☐ We sell or offer to sell metal, coins, stone or mineral and make representations as to the earning or profit potential of purchases of the metal, coins, stone or mineral. The substantiating data is attached and marked Exhibit 9 (see General Instructions, no. B9):
31. (a) ☐ We do not sell or offer to sell interests in oil, gas or mineral fields, wells or exploration sites.
- (b) ☐ We sell or offer to sell interests in oil, gas or mineral fields, wells or exploration sites and our ownership interest, if any, in each field, well or site being offered and the number of interests to be sold in each is as follows (see General Instructions, no. B10):
32. (a) ☐ We do not sell or offer to sell interests in oil, gas or mineral fields, wells or exploration sites.
- (b) ☐ We sell or offer to sell interests in oil, gas or mineral fields, wells or exploration sites, but make no reference to prospective purchasers about any investigation having been done by anyone regarding any particular field, well or site in which we are selling interests.
- (c) ☐ We sell or offer to sell interests in oil, gas or mineral fields, wells or exploration sites and make a reference to prospective purchasers about investigations having been done regarding the field, well or site in which we are selling interests.
- ☐ Attached and marked Exhibit 10 is a copy of the report and other documents relating to the investigation done which includes therein the name, business address, telephone number and professional credentials of the person(s) who made the investigation.
33. (a) ☐ We do not sell or offer to sell interests in oil, gas or mineral fields, wells or exploration sites.

- (b) ☐ We sell or offer to sell interests in oil, gas or mineral fields, wells or exploration sites, but do not make any representation as to the earning or profit potential of purchases of any interest in these fields, wells or sites.
- (c) ☐ We sell or offer to sell interests in oil, gas or mineral fields, wells or exploration sites and make representations as to the earning or profit potential of purchases of an interest in these fields, wells or sites. The substantiating data is attached and marked Exhibit 11 (see General Instructions, no. B11):

- 34. (a) ☐ We do not sell or offer to sell an investment opportunity of any type whatsoever.
- (b) ☐ We sell or offer to sell an investment opportunity of the type set forth in answers to questions 26-33.
- (c) ☐ We sell or offer to sell an investment opportunity of a type different from those set forth in questions 26-33.

- 35. (a) ☐ We did not check question 34(c).
- (b) ☐ We checked question 34(c) and we sell or offer to sell the following types of investment opportunities:

- 36. (a) ☐ We did not check question 34(c).
- (b) ☐ We checked question 34(c) and we sell or offer to sell the investment opportunity directly from our own inventory.
- (c) ☐ We checked question 34(c) and we arrange the transfer of the investment opportunity, or evidence of ownership of it from our sources to the purchaser or his/her bank without taking possession of it ourselves.
- (d) ☐ We checked question 34(c) and we will either retain physical possession of the investment opportunity, or of the evidence of ownership of it, or will not transfer physical possession of it, or of the evidence of ownership of it, until the purchaser has paid in full for the purchase; and

1) The address(es) of each location where the investment opportunity or the evidence of its ownership will be kept is:

2) If we do not own the premises at which the investment opportunity, or the evidence of ownership of it, will be kept, the name(s) of the owner(s) of the business(es) at which the investment opportunity, or the evidence of ownership of it, will be kept is:

3) [] Attached and marked Exhibit 12 is a copy of the contract or other document which evidences our right to store the investment opportunity, or the evidence of ownership of it, at the address(es) designated.

(e) [] We checked question 34(c) but we purchase the investment opportunity to fill orders we have taken from purchasers and attached and marked Exhibit 13 is a copy of all contracts or other documents evidencing our ability to call upon suppliers to fill our orders.

37. The name and address of our agent in California who is authorized to receive service of process is:

Name _____

Address _____

You must sign and date Exhibit 14 which is an irrevocable consent appointing the Attorney General to act as your attorney to receive service of any lawful process in any noncriminal suit, action, or proceeding against you or your successor, executor or administrator, which may arise under the provisions of this Telephonic Seller Law (Business & Professions Code, §§ 17511- 17511.10) when the agent designated in answer to question 37 has resigned and has not been replaced, or if the agent so designated cannot with reasonable diligence be found at the address designated, or if no agent has been designated. (See General Instructions, nos. B12 & B13.)

38. A copy of your bond for \$100,000 in favor of the State of California must be submitted as Exhibit 15 . (Business & Professions Code, § 17511.12(a).)

39. ALL PRINCIPALS OF THE TELEPHONIC SELLER MUST SIGN AND DATE THIS VERIFICATION:

I/WE DECLARE UNDER PENALTY OF PERJURY THAT ALL OF THE
INFORMATION PROVIDED IN ANSWERS TO QUESTIONS 1-38,
AND IN THE EXHIBITS ATTACHED HERETO, IS TRUE AND CORRECT.

*	Signature	Print Name
	City and State Where Signed	Date
*	Signature	Print Name
	City and State Where Signed	Date
*	Signature	Print Name
	City and State Where Signed	Date
*	Signature	Print Name
	City and State Where Signed	Date
*	Signature	Print Name
	City and State Where Signed	Date
*	Signature	Print Name
	City and State Where Signed	Date
*	Signature	Print Name
	City and State Where Signed	Date
*	Signature	Print Name
	City and State Where Signed	Date
*	Signature	Print Name
	City and State Where Signed	Date

	_____ City and State Where Signed	_____ Date
*	_____ Signature	_____ Print Name
	_____ City and State Where Signed	_____ Date
*	_____ Signature	_____ Print Name
	_____ City and State Where Signed	_____ Date
*	_____ Signature	_____ Print Name
	_____ City and State Where Signed	_____ Date
*	_____ Signature	_____ Print Name
	_____ City and State Where Signed	_____ Date
*	_____ Signature	_____ Print Name
	_____ City and State Where Signed	_____ Date
*	_____ Signature	_____ Print Name
	_____ City and State Where Signed	_____ Date

Name of Seller _____

When such service of process is made upon the Attorney General, it shall have the same force and validity as if served personally on the seller. A notice of such service and a copy of the process is to be mailed by the plaintiff in such action to the address set forth in answer to question 10(d) of the registration, or if none, in answer to question 10(a), unless an address is set forth here:

Street Address or Post Office Box, City, State and Zip Code

Signature

Print Name

Title	Date
-------	------